



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Artavanis-Tsakonas et al.

Serial No.: 08/083,590

Group Art Unit: To be assigned

Filed: June 25, 1993

Examiner: To be assigned

For: THERAPEUTIC AND DIAGNOSTIC  
METHODS AND COMPOSITIONS  
BASED ON NOTCH PROTEINS AND  
NUCLEIC ACIDS

Attorney Docket No.: 7326-015

**RESPONSE TO NOTICE TO COMPLY WITH  
REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE  
AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Pursuant to a Notice to Comply With Requirements for Patent Applications  
Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures issued on  
August 12, 1993 in connection with the above-identified application, Applicants submit  
herewith amended Sequence Listings in paper and computer readable form pursuant to 37  
C.F.R. § 1.821(c) and (e), respectively.

Specifically, the following amendments to the Sequence Listing have been  
made:

**EXPRESS MAIL CERTIFICATION**

"Express Mail" label No. TB 389 223 747 US Date of Deposit September 13, 1993  
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

PATRICK MILLS

*Patrick Mills*  
(Signature of person mailing paper or fee)

PENY-203596.1

The application number and filing date have been added in subsection (vi)

CURRENT APPLICATION DATA of section (1) GENERAL INFORMATION.

The information and sequence description for SEQ ID NOS:19-21 have been added to the Sequence Listing.

I hereby state that the amendment, made in accordance with 37 C.F.R. § 1.825(a), included in the substitute sheets of the Sequence Listing are supported in the application, as filed, in Figures 13 and 17.

I hereby state that the substitute sheets of the Sequence Listing do not include new matter.

I hereby state that the content of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 C.F.R. § 1.821(c) and (e), respectively, are the same.

The time for response to the Notice to Comply has been set for Sunday, September 12, 1993. A copy of the Notice to Comply is enclosed.

Respectfully submitted,

Date September 13, 1993

*S. Leslie Misrock*  
S. Leslie Misrock

*By Adriane Antler*  
*Reg. No. 32,605*  
18,872  
(Reg. No.)

PENNIE & EDMONDS  
1155 Avenue of the Americas  
New York, New York 10036-2711  
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Enclosures

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 CFR 1.821 - 1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached copy of the marked-up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7.

Other: \_\_\_\_\_

**Applicant must provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing"
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d)

For questions regarding compliance with these requirements, please contact:

For Rules Interpretation, call (703) 308-1123  
For CRF submission help, call (703) 308-4212  
For PatentIn software help, call (703) 557-0400

Please return a copy of this notice with your response.



**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
08/083,590	06/25/93	TSAKONAS	A 7326-015

03B1/0812

PENNIE & EDMONDS  
COUNSELLORS AT LAW  
1155 AVENUE OF THE AMERICA  
NEW YORK, NY 10036-2711

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DATE MAILED:

**NOTICE TO FILE MISSING PARTS OF APPLICATION  
FILING DATE GRANTED**

08/12/93

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 10,000 for large entities or \$ \_\_\_\_\_ for small entities who have filed a verified statement claiming such status. The surcharge is set forth in 37 CFR 1.16(e).

If all required items on this form are filed within the period set below, the total amount owed by applicant as a ☐ large entity, ☐ small entity (verified statement filed), is \$ 10,000.

Applicant is given **ONE MONTH FROM THE DATE OF THIS LETTER, OR TWO MONTHS FROM THE FILING DATE** of this application, **WHICHEVER IS LATER**, within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

1. ☐ The statutory basic filing fee is: ☐ missing ☐ insufficient. Applicant as a ☐ large entity ☐ small entity, must submit \$ \_\_\_\_\_ to complete the basic filing fee.
2. ☒ Additional claim fees of \$ 74,000 as a ☒ large entity, ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
3. ☐ The oath or declaration:  
☐ is missing.  
☐ does not cover items omitted at time of execution.

An oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date is required.

4. ☐ The oath or declaration does not identify the application to which it applies. An oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
5. ☒ The signature to the oath or declaration is: ☒ missing; ☐ a reproduction; ☐ by a person other than the inventor or a person qualified under 37 CFR 1.42, 1.43, or 1.47. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
6. ☐ The signature of the following joint inventor(s) is missing from the oath or declaration:

\_\_\_\_\_. An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date is required.

7. ☐ Application was filed in a language other than English. Applicant must file a verified English translation of the application and a fee of \$ \_\_\_\_\_ under 37 CFR 1.17(k), unless this fee has already been paid.
8. ☐ A \_\_\_\_\_ processing fee is required for returned checks. (37 CFR 1.21(m)).
9. ☐ Y. filing receipt was mailed in error because check was returned without payment.